

2828

Patent

IN THE UNITED STATES PATENT AND  
TRADEMARK OFFICE

Phoenix, Arizona

**Applicant -** Ralph Johnson      **Group:** 2828  
**Serial No. -** 10/026,019      **Examiner:** Tuan M. Nguyen  
**Filed -** 12-20-2001      **Atty Docket No.:** V637-01520 US  
**For -** VERTICAL CAVITY SURFACE EMITTING LASER INCLUDING  
INDIUM IN THE ACTIVE REGION

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Box Patent Application  
Assistant Commissioner of Patents  
POB 1450  
Alexandria, VA 22313-1450

Dear Sir:

The following sections are being submitted for this Supplemental Information Disclosure Statement:

1. Preliminary Statements.

Applicant submits herewith additional patents, publications or other information as the result of an International Search Report relative to U. S. application serial number 10/026,055, that he believes may be material to the patentability of the claims under consideration in this application and in respect of which there may be a duty to disclose under 37 C.F.R. § 1.56.

The filing of this Supplemental Information Disclosure Statement shall not be construed as a representation that a search has been made (37 CFR § 1.97(g)), an admission that the information cited is, or is considered to be, material to patentability as defined in 37 C.F.R. § 1.56 (37 C.F.R. § 1.97(h)), or that no other material information exists.

The filing of this Supplemental Information Disclosure Statement is not to be construed as a representation that the references are prior art within the meaning of 35 U.S.C. §§ 102 or 103. Further, any explanation, if provided, is not to be construed as a representation that the references have been thoroughly reviewed. In particular, no representation as to the relevance of any portion of any reference is intended.

The filing of this Supplemental Information Disclosure Statement shall not be construed as an admission against interest in any manner. Notice of January 9, 1992, 1135 O.G. 13-25, at 25.

2. Form PTO-1449, List of Prior Art Cited by Applicant, citing no U.S. patents, one foreign patent, and two publications.

3. These references are in addition to those listed in the Information Disclosure Statement and Form PTO 1449 filed with the Patent and Trademark Office on April


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16, 2003 and the Supplemental Information Disclosure Statement and Form PTO 1449 filed with the Patent and Trademark Office on April 18, 2003.

4. The person making this statement is the attorney who signs below on the basis of the information supplied by the inventor(s) and the information in the attorney's file.

5. The Office is authorized to charge Applicant's Deposit Account 01-1125 for any fee that may be due under 37 C.F.R. § 1.17(p) for consideration of this IDS and for any other fee that may be due.

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By:   
Andrew A. Abernethy  
Reg. No. 39,582  
Attorney for Applicant

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**CERTIFICATE OF MAILING**

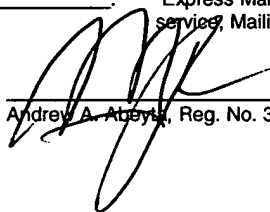
I hereby certify that this correspondence (along with any paper referred to as being attached or enclosed) is being deposited on the date shown below addressed to the Assistant Commissioner of Patents, POB 1450, Alexandria, VA, 22313-1450:

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with sufficient postage as first class  
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Dated: Oct. 7, 2003

  
Andrew A. Abernethy, Reg. No. 39,582

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Substitute for form 1449A-PTO

## INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(USE AS MANY SHEETS AS NECESSARY)

Sheet 1 Of 2

### COMPLETE IF KNOWN

Application Number	10/026,055
Filing Date	December 20, 2001
First Named Inventor	Ralph Johnson
Art Unit	2828
Examiner Name	Tuan M Nguyen
Attorney Docket Number	V637-01520 US

### U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Document Number		Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code <sup>2</sup> (if known)			
		US				
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### FOREIGN PATENT DOCUMENTS

Examiner Initials*	Cite No. <sup>1</sup>	Foreign Patent Document			Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns, Lines Where Relevant Passages or Relevant Figures Appear	T <sup>6</sup>
		Country Code <sup>3</sup>	Number <sup>4</sup>	Kind Code <sup>5</sup> (if known)				
		EP	0 975 073	A1	01-26-2000	NEC Corporation		

Examiner  
Signature

Date  
Considered

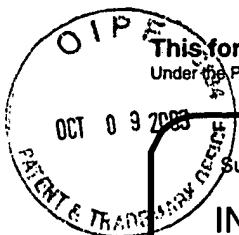
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(USE AS MANY SHEETS AS NECESSARY)

Sheet	2	Of	2
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<b>Application Number</b>	10/026,055
<b>Filing Date</b>	December 20, 2001
<b>First Named Inventor</b>	Ralph Johnson
<b>Group Art Unit</b>	2828
<b>Examiner Name</b>	Tuan M Nguyen
<b>Attorney Docket Number</b>	V637-01520 US

[illegible]

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Examiner Signature		Date Considered	
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<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC, 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC, 20231.

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